

05/04/01  
1c961 U.S. PTO

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Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

|                        |   |
|------------------------|---|
| Attorney Docket No.    | 6510168US1  |
| First Inventor         | Raz, et al.   |
| Title                  | Agents That Modulate DNA-Pk Activity and Methods of Use Thereof |
| Express Mail Label No. | EL 852432388 US   |

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
- ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
- ☒ Specification [Total Pages **61**]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **10**]
- Oath or Declaration [Total Pages **1**]
  - ☐ Newly executed (original or copy)
  - ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☐ Application Data Sheet. See 37 CFR 1.76

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - ☐ Computer Readable Form (CRF)
  - Specification Sequence Listing on:
    - ☒ CD-ROM or CD-R (2 copies); or
    - ☒ paper
  - ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
- ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_ / \_\_\_\_\_


Prior application information: Examiner \_\_\_\_\_ Group / Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

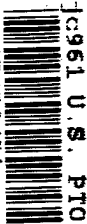
☒ Customer Number or Bar Code Label **24353** or ☒ Correspondence address below  
(Insert Customer No. or Attach bar code label here)

|         |                                 |           |                |          |                |
|---------|---------------------------------|-----------|----------------|----------|----------------|
| Name    | Paula A. Borden                 |           |                |          |                |
|         | BOZICEVIC, FIELD & FRANCIS LLP  |           |                |          |                |
| Address | 200 Middlefield Road, Suite 200 |           |                |          |                |
| City    | Menlo Park                      | State     | California     | Zip Code | 94025          |
| Country | USA                             | Telephone | (650) 327-3400 | Fax      | (650) 327-3231 |

|                   |   |                                   |             |
|-------------------|---|-----------------------------------|-------------|
| Name (Print/Type) | Paula A. Borden   | Registration No. (Attorney/Agent) | 42,344      |
| Signature         |  | Date                              | May 4, 2001 |

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05/04/01



PTO/SB/17 (11-00)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

\$950.00

## Complete if Known

|                      |                        |
|----------------------|------------------------|
| Application Number   | Unassigned             |
| Filing Date          | Herewith (May 4, 2001) |
| First Named Inventor | Raz, et al.            |
| Examiner Name        | Unassigned             |
| Group Art Unit       | Unassigned             |
| Attorney Docket No.  | 6510168US1             |

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

50-0815

Deposit  
Account  
Name

BOZICEVIC, FIELD &amp; FRANCIS

- ☒ Charge Any Additional Fee Required  
Under 37 CFR §§ 1.16 and 1.17

- ☐ Applicant claims small entity status.  
See 37 CFR § 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

| Large Entity<br>Fee Code (\$) | Small Entity<br>Fee Code (\$) | Fee Description        | Fee Paid |
|-------------------------------|-------------------------------|------------------------|----------|
| 101 710                       | 201 355                       | Utility filing fee     | 710.00   |
| 106 320                       | 206 160                       | Design filing fee      |          |
| 107 490                       | 207 245                       | Plant filing fee       |          |
| 108 710                       | 208 355                       | Reissue filing fee     |          |
| 114 150                       | 214 75                        | Provisional filing fee |          |
| SUBTOTAL (1)                  |                               |                        | \$710.00 |

## 2. EXTRA CLAIM FEES

| Extra Claims       |               | Fee from below | Fee Paid |
|--------------------|---------------|----------------|----------|
| Total Claims       | 20 - 20** = 0 | X 18.00 =      | 0.00     |
| Independent Claims | 6 - 3** = 3   | X 80.00 =      | 240.00   |
| Multiple Dependent |               |                |          |

| Large Entity<br>Fee Code (\$) | Small Entity<br>Fee Code (\$) | Fee Description  | Fee Paid |
|-------------------------------|-------------------------------|--|----------|
| 103 18                        | 203 9                         | Claims in excess of 20                                     |          |
| 102 80                        | 202 40                        | Independent claims in excess of 3                          |          |
| 104 270                       | 204 135                       | Multiple dependent claim, if not paid                      |          |
| 109 80                        | 209 40                        | ** Reissue independent claims over original patent         |          |
| 110 18                        | 210 9                         | ** Reissue claims in excess of 20 and over original patent |          |
| SUBTOTAL (2)                  |                               |  | \$240.00 |

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

| Large Entity<br>Fee Code (\$) | Small Entity<br>Fee Code (\$) | Fee Description  | Fee Paid |
|-------------------------------|-------------------------------|--|----------|
| 105 130                       | 205 65                        | Surcharge - late filing fee or oath  |          |
| 127 50                        | 227 25                        | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139 130                       | 139 130                       | Non - English specification  |          |
| 147 2,520                     | 147 2,520                     | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112 920*                      | 112 920*                      | Requesting publication of SIR prior to Examiner action                     |          |
| 113 1,840*                    | 113 1,840*                    | Requesting publication of SIR after Examiner action                        |          |
| 115 110                       | 215 55                        | Extension for reply within first month                                     |          |
| 116 390                       | 216 195                       | Extension for reply within second month                                    |          |
| 117 890                       | 217 445                       | Extension for reply within third month                                     |          |
| 118 1,390                     | 218 695                       | Extension for reply within fourth month                                    |          |
| 128 1,890                     | 228 945                       | Extension for reply within fifth month                                     |          |
| 119 310                       | 219 155                       | Notice of Appeal   |          |
| 120 310                       | 220 155                       | Filing a brief in support of an appeal                                     |          |
| 121 270                       | 221 135                       | Request for oral hearing   |          |
| 138 1,510                     | 138 1,510                     | Petition to institute a public use proceeding                              |          |
| 140 110                       | 240 55                        | Petition to revive - unavoidable   |          |
| 141 1,240                     | 241 620                       | Petition to revive - unintentional   |          |
| 142 1,240                     | 242 620                       | Utility issue fee (or reissue)   |          |
| 143 440                       | 243 220                       | Design issue fee   |          |
| 144 600                       | 244 300                       | Plant issue fee  |          |
| 122 130                       | 122 130                       | Petitions to the Commissioner  |          |
| 123 50                        | 123 50                        | Processing fee under 37 CFR § 1.17(q)                                      |          |
| 126 180                       | 126 180                       | Submission of Information Disclosure Statement                             |          |
| 581 40                        | 581 40                        | Recording each patent assignment per property (times number of properties) |          |
| 146 710                       | 246 355                       | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149 710                       | 249 355                       | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179 710                       | 279 355                       | Request for Continued Examination (RCE)                                    |          |
| 169 900                       | 169 900                       | Request for expedited examination of a design application                  |          |
| Other fee (specify)           |                               |  |          |

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

## SUBMITTED BY

Name (Print/Type)

Paula A. Borden

Registration No.  
(Attorney/Agent)

42,344

Complete (if applicable)

Telephone

(650) 327-3400

Signature

Date

May 4, 2001

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on**

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PATENT APPLICATION SERIAL NO. \_\_\_\_\_

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE  
FEE RECORD SHEET

05/08/2001 EHAILE1 00000015 500815 09848986

|           |           |
|-----------|-----------|
| 01 FC:101 | 710.00 CH |
| 02 FC:102 | 240.00 CH |

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**Applicant(s): **RAZ, et al.**

Docket No.

**6510168US1**Serial No.  
UnassignedFiling Date  
Herewith (May 4, 2001)Examiner  
UnassignedGroup Art Unit  
Unassigned

Invention:

**AGENTS THAT MODULATE DNA-PK ACTIVITY AND METHODS OF USE THEREOF**

I hereby certify that the following correspondence:

- |  |   |
|--|---|
| 1) Utility Patent Application Transmittal (1 pg)   | 5) Certification of Sequence Listing (1 pg) |
| 2) Fee Transmittal ( <i>in duplicate</i> ) (2 pgs) | 6) Sequence Listing (5 pgs)                 |
| 3) Specification, Claims, Abstract (61 pgs)        | 7) Diskette (Sequence Listing)(One)         |
| 4) Drawings (10 sheets/10 Figs.)                   | 8) Return Receipt Postcard                  |

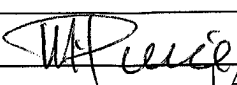
*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

May 4, 2001*(Date)*Margaret D. Pierce*(Typed or Printed Name of Person Mailing Correspondence)*  
*(Signature of Person Mailing Correspondence)*EL 852432388 US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

**EXPRESS MAIL CERTIFICATE**

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

|                       |   |                  |                 |
|-----------------------|---|------------------|-----------------|
| Typed or Printed Name | Margaret D. Pierce  | Express Mail No. | EL 852432388 US |
| Signature             |  | Date             | May 4, 2001     |

**CERTIFICATION  
REGARDING SEQUENCE  
LISTING**

Address to:  
Commissioner for Patents  
Washington, D.C. 20231

|  |                        |
|--|------------------------|
| Attorney Docket  | 6510168US1             |
| First Named Inventor   | Raz, et al.            |
| Application Number   | Unassigned             |
| Filing Date  | Herewith (May 4, 2001) |
| Group Art Unit   | Unassigned             |
| Examiner Name  | Unassigned             |
| Title: "AGENTS THAT MODULATE DNA-PK ACTIVITY AND <i>METHODS OF USE THEREOF</i> " |                        |

Sir:

I hereby certify that the enclosed Sequence Listing is being submitted in paper copy and on a computer-readable diskette, and that the content of the paper and computer readable copies are the same.

I hereby also certify that the enclosed submission includes no new matter.

Applicants believe that no fee is due in connection with the filing of this paper. However, the Commissioner is hereby authorized to charge any fees which may be required by this paper, or to credit any overpayment, to Deposit Account No. 50-0815.

Respectfully submitted,  
BOZICEVIC, FIELD & FRANCIS LLP

Date: May 4, 2001

By: 

Paula A. Borden  
Registration No. 42,344

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F:\Document\6510168US1\CertificationSeqListing5-4